

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

BENJAMIN K. GIBBS, ET AL.

Application No.:

Filed:

For: **Unique Digital Signature**

Art Group: 2131

Examiner: Song, H.

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted concurrently with the Continuation Application. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Some or all of the references listed on the enclosed PTO/SB/08 were previously identified in the parent application (Application No. 09/538,109, filed March 29, 2000) and copies of the references were furnished at that time. Accordingly, per 37 CFR §1.98(d)(1) additional copies of those references are not submitted herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: \_\_\_\_\_

\_\_\_\_\_  
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**LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

ATTY. DOC. NO.

4221157962

SERIAL NO.

29

APPLICANT:

GIBBS, Benjamin K. et al.

FILING DATE:

Conc. Herein

GROUP:

Not Yet Assigned

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA	4,713,780	12/15/87	Schultz, et al.	364	514	04/15/85
	AB	4,934,846	06/19/90	Gilham	400	104	02/27/89
	AC	5,093,918	03/03/92	Heyen, et al.	395	725	12/22/88
	AD	5,377,354	12/27/94	Scannell, et al.	395	650	06/08/93
	AE	5,434,918	07/18/95	Kung, et al.	380	25	12/14/93
	AF	5,493,692	02/20/96	Theimer et al.	455	26.1	12/03/93
	AG	5,604,803	12/18/97	Aziz	380	25	06/03/94
	AH	5,606,668	02/25/97	Shwed	395	200.11	12/15/93

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO
	AI	WO 97/49251	12/24/97	PCT	HO4N 11/00	A1	
	AJ	WO 98/51064	11/12/98	PCT	H04M 3/42	A1	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

	AK	M. Wagner, Cyber Junk, Computerworld, Aug. 26, 1996, Vol. 30, No. 35, p. 28
	AL	B. Cole-Gomolski, Message Managers Aim to Control Junk E-mail, Computerworld, May 5, 1997, Vol. 31, No. 18
	AM	G. Faulkner, A New and Nasty Way to Flood Networks with Spam, Lantimes, < <a href="http://www.lantimes.com/97/97sep/709c040a.html">http://www.lantimes.com/97/97sep/709c040a.html</a> >, Sept. 1997,
	AN	P. Collinson, Putting a Stop to Spam, Centaur Communications EXE, Nov. 3, 1997
	AO	Table of Contents, Choking on Spam, Nov. 1997, Vol. 17, No. 13, p. 105
	AP	Communications Software, Help Block Spam, Dec. 1997, Vol. 10, No. 12, p. 286
	AQ	PC/Computing, Spam Killers, Dec. 1997, Vol. 10, No. 12, p. 433
	AR	D. Blankenhorn, Datamation, You Can Win The War Against Spam!, < <a href="http://www.datamation.com/PlugIn/issues/1998/august/08web.html">http://www.datamation.com/PlugIn/issues/1998/august/08web.html</a> >, Aug. 1998
	AS	E. Gabber, et al., How to Make Personalized Web Browsing Simple, Secure, and Anonymous, Feb. 1997, p. 1-16.

EXAMINER:

Not Yet Assigned

DATE CONSIDERED:

EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant

**LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

ATTY. DOC. NO.

42157902

SERIAL NO.

09/538,105

APPLICANT:

GIBBS, Benjamin K. et al.

FILING DATE:

Cont. Herein

GROUP:

Not Yet Assigned

	AX	5,542,046	07/30/96	Carlson et al.	395	186	06/02/95
	AY	5,732,137	03/24/98	Aziz	380	25	01/03/97
	AZ	5,740,361	04/14/98	Brown	395	187.01	06/03/96
	BA	5,751,813	05/12/98	Dorenbos	380	49	04/29/96
	BB	5,751,814	05/12/98	Kafri	380	49	06/25/96
	BC	5,764,772	06/09/98	Kaufman et al.	380	30	12/15/95
	BD	5,787,178	07/28/98	Schwenk	380	30	04/12/96
	BE	5,850,446	12/15/98	Berger et al.	380	24	06/17/96
	BF	5,852,665	12/22/98	Gressel et al	380	30	07/18/96
	BG	5,857,022	01/05/99	Sudia	380	23	02/19/97

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	BH	L. Blum, et al., A Simple Unpredictable Pseudo-Random Number Generator, Siam Journal On Computing, May 1986, Vol. 15, No. 2, pp. 364-383
	BI	Nist, The Digital Standard Signature Standard, Communications of the Law, July 1992, Vol. 35, No. 7, pp. 36-40
	BJ	C. Dwork, et al., Pricing Via Processing or Combatting Junk Mail, Proc. of Crypto, Aug. 1992, pp. 39-145
	BK	Y. Matias, et al., Lightweight Security Primitives for E-Commerce, in or after June 1997, p. 1-8.
	BL	D. Bleichenbacher, et al. On Secure and Pseudonymous Client-Relationships with Multiple Servers, May 1998, p. 1-14.
	BM	W. Diffie, The First Ten Years of Public-Key Cryptography, Proceedings of the IEEE, Vol. 76, No. 5, May 1988, p. 560-577.

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ATTY. DOC. NO.

428157902

SERIAL NO.

109

APPLICANT:

GIBBS, Benjamin K. et al.

FILING DATE:

12/20/93

GROUP:

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**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA	4,200,770	04/29/80	Hellman et al.	178	22	09/06/77
	AB	4,218,582	08/19/80	Hellman, et al.	178	22	10/06/77
	AC	4,281,215	07/28/81	Atalla	178	22.08	05/03/78
	AD	4,309,569	01/05/82	Merkle	178	22.08	09/05/79
	AE	4,405,829	09/20/83	Rivest et al.	178	22.1	12/14/77
	AF	4,881,264	11/14/89	Merkle	380	25	07/30/87
	AG	4,977,595	12/11/90	Ohta et al.	380	24	03/28/90
	AH	5,003,597	03/26/91	Merkle	380	37	12/21/89
	AI	5,142,577	08/25/92	Pastor	380	21	12/17/90
	AJ	5,204,961	04/20/93	Barlow	395	725	06/25/90
	AK	5,224,164	06/29/93	Elsner	380	44	05/20/91
	AL	5,231,668	07/27/93	Kravitz	380	28	07/26/91
	AM	5,307,412	04/26/94	Vobach	380	42	09/30/92
	AN	5,319,710	06/07/94	Atalla et al.	380	23	08/22/86
	AO	5,349,649	09/20/94	Iijima	395	275	03/30/92
	AP	5,351,293	09/27/94	Michener et al.	380	21	02/01/93
	AQ	5,367,573	11/22/94	Quimby	380	25	07/02/93
	AR	5,371,796	12/06/94	Avarne	380	23	06/01/93
	AS	5,432,852	07/11/95	Leighton et al.	380	30	09/29/93
	AT	5,473,691	12/05/95	Menezes et al.	380	25	11/05/93
	AU	5,479,514	12/26/95	Klonowski	380	47	02/23/94
	AV	5,537,475	07/16/96	Micali	380	30	02/01/94
	AW	5,539,826	07/23/96	Dwork et al.	380	25	12/29/93

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**LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

ATTY. DOCK NO.

429157462

SERIAL NO.

38754

APPLICANT:

GIBBS, Benjamin K. et al.

FILING DATE:

Cons. Herein

GROUP:

Not Yet Assigned

AT	L.C. Cranor, et al., Spam!, Communications of the ACM, Vol. 41, No. 8, August 1998, p. 74-83.
AU	The Lucent Personalized Web Assistant, A Bell Labs Technology Demonstration, <http://www.bell-labs.com/projects/lpwa/>, on or after June 1997, p. 1-2.
AV	News & Info, News Release, Lucent Technologies Introduces Technology That Protects Net Surfers' Privacy, <http://www.lucent.com/press/0697/9706.bla.html>, June 10, 1997, p. 1-2.
AW	M. Stutz, WIREDNEWS, Covering Your Tracks via a Helping Hand, <http://www.wired.com/news/technology/story/4375.html>, June 10, 1997, p. 1-3.
AX	Lucent Introduces Personal Protection Technology, News Watch, <http://www.zdnet.com/icom/news/199706/12/news2.html>, June 12, 1997, p. 1-2.
AY	a2i(rahul.net) anti-junk-email-features, <http://www.rahul.net/guest/nojunk.html>, 1998, p. 1-2.
AZ	a2i-nojunk -- anti-junk-email system, <http://www.rahul.net/guest/a2i-nojunk.1.txt>, date unknown, p. 1-16.

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<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	<b>ATTY. DOC. NO.</b> 42P1157932	<b>SERIAL NO.</b> .
	<b>APPLICANT:</b> GIBBS, Benjamin K. et al.	
	<b>FILING DATE:</b> Conc. Herewith	<b>GROUP:</b> Not Yet Assigned

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA	5,619,648	04/08/97	Canale, et al.	395	200.01	11/30/94
	AB	5,826,022	10/20/98	Nielsen	395	200.36	04/05/96

FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	AC	WO 97/46962	12/11/97	PCT	G06F 17/60	A1		
	AD	WO 98/00787	01/08/98	PCT	G06F 13/00	A1		
	AE	WO 98/37680	08/27/98	PCT	H04M	A2		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)		
	AF	A. Arensburger, et al., To Take Arms Against a Sea of Email, Communication of the ACM, March 1995, Vol. 38, No. 3, pp. 108-109
	AG	T. Bass, et al., A Simple Framework for Filtering Queued SMTP Mail (Cyberwar Countermeasures), MILCOM 97 Proceedings, 11/5/97, Vol. 3, pp. 1140-1144

<b>EXAMINER:</b> Not Yet Assigned	<b>DATE CONSIDERED:</b>
<b>EXAMINER:</b> Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant	

**LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

ATTY. Docket NO.

4281157962

SERIAL NO.

APPLICANT:

GIBBS, Benjamin K. et al.

FILING DATE:

Cont. Herewith

GROUP:

Not Yet Assigned

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	AA	WO 98/18249	04/30/98	PCT	H04L 29/06	A1		
	AB	WO 98/51116	11/12/98	PCT	H04Q 11/04	A2		
	AC	WO 99/04344	01/28/99	PCT	G06F 13/00	A1		

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	AD	R. J. Hall, How to Avoid Unwanted Email, Communications of the ACM, March 1998, Vol. 41, No. 3, pp. 88-95
	AE	E. Gabber, et al., Curbing Junk E-Mail via Secure Classification, in or after May 1998, p. 1-12.
	AF	R.J. Hall, Channels: Avoiding Unwanted Electronic Mail, American Mathematical Society, 1997, p. 1-17.

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**LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

42P1157962

SERIAL NO.

39/336,102

APPLICANT:

GIBBS, Benjamin K. et al.

FILING DATE:

Cons: Herewith

GROUP:

Not Yet Assigned

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA	5,592,553	01/07/97	Guski, et al.	380	23	02/08/96
	AB	5,638,446	06/10/97	Rubin	380	25	08/28/95
	AC	5,958,051	09/28/99	Renaud, et al.	713	200	01/09/97

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO
	AD						

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

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(Use several sheets if necessary)

ATTY. DOC. NO.

42011579032

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APPLICANT:

GIBBS, Benjamin K. et al.

FILING DATE:

Comm. Herewith

GROUP:

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA	5,440,634	08/08/95	Jones et al.	380	24	08/16/93
	AB	5,542,046	07/30/96	Carlson et al.	395	186	06/02/95
	AC	5,634,012	05/27/97	Stefik, et al.	395	239	11/23/94
	AD	5,764,762	06/09/98	Kazmierczak et al.	380	4	10/28/96
	AE	5,825,883	10/20/98	Archibald et al.	380	25	10/31/95

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	AF	P.G. Neumann, Risks in Digital Commerce, Communications of the ACM, Jan. 1996, Vol. 39, No. 1, p. 154
	AG	N. Asokan, et al., The State of the Art in Electronic Payment Systems, Computer, The Future of Micro Processors, Sept. 1997, pp. 28-35

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<b>Substitute for Form 1449/PTO</b>  <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	
				Filing Date	
				First Named Inventor:	
				Art Unit	
Examiner Name		Song, H.			
Sheet	1	of	1	Attorney Docket Number	42P11579C2

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
		US-	6,240,091	5/2001	Ginzboorg et al.	
		US-	6,125,349	9/2000	Maher	
		US-	4,996,711	2/1991	Chaum	
		US-	6,112,305	8/2000	Dancs et al.	
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FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

Examiner Signature		Date Considered	
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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